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PTO/SB/21 (modified)

Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/289,550
		Filing Date	April 9, 1999
		First Named Inventor	Richard W. Friesen
		Group Art Unit Number	2773
		Examiner Name	Not Yet Known
TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>		Total Number of Pages in This Submission	7**
		Attorney Docket Number	3854

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Check Enclosed	<input type="checkbox"/> Issue Fee Transmittal
<input checked="" type="checkbox"/> Return Receipt Postcard	<input type="checkbox"/> Letter to Chief Draftsperson
<input type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) []
<input type="checkbox"/> Assignment & PTO-1595	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Declaration	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Certified Copy of Priority Document(s)
<input checked="" type="checkbox"/> Information Disclosure Statement & PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Cited References	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Request for Corrected Filing Receipt	<input type="checkbox"/> _____
<input type="checkbox"/> Request for Correction of Recorded Assignment	<input type="checkbox"/> _____
<input type="checkbox"/> Amendment/Response: [] Page(s) <input type="checkbox"/> After Final	<input type="checkbox"/> _____
<input type="checkbox"/> Status Request	<input type="checkbox"/> _____
<input type="checkbox"/> Revocation and Power of Attorney	<input type="checkbox"/> _____

TC 2700 MAIL ROOM

JUL 28 1999

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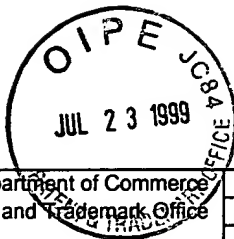
REMARKS: ** "Total Number of Pages in this Submission" does not include cited references.

SIGNATURE OF ATTORNEY OR AGENT

Signature:			
Attorney/Reg. No.:	Dana S. Rao/Reg. No. 43,875	Dated:	7/20/99

CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:	Dana S. Rao	Dated:	7/20/99
Express Mail Mailing Number (optional):			



PTO/SB/17 (6-95)(modified)
Approved for use through 11/30/96, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified) Rev. 10/95 FEE TRANSMITTAL TOTAL AMOUNT OF PAYMENT Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$).00	U.S. Department of Commerce Patent and Trademark Office		Complete if Known	
	Application Number	09/289,550		
	Filing Date	April 9, 1999		
	First Named Inventor	Richard W. Friesen		
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	Examiner Name	Not Yet Known		
	Attorney Docket Number	3854		

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																									
1. The Commissioner is hereby authorized to: <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account. <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. [†] <input type="checkbox"/> Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to the below mentioned deposit account. Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP A Duplicate Copy of this authorization is attached 2. <input type="checkbox"/> Payment Enclosed: [] Check [] Other		3. ADDITIONAL FEES <table border="1"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th><th>Fee Due</th></tr></thead><tbody><tr><td>105/\$130</td><td>205/\$65</td><td>Surcharge - late filing fee or oath</td><td><input type="checkbox"/></td></tr><tr><td>127/\$50</td><td>227/\$25</td><td>Surcharge-late provisional filing fee or cover sheet</td><td><input type="checkbox"/></td></tr><tr><td>147/\$2,520</td><td>147/\$2,520</td><td>For filing a request for reexamination</td><td><input type="checkbox"/></td></tr><tr><td>115/\$110</td><td>215/\$55</td><td>Extension for response within first month</td><td><input type="checkbox"/></td></tr><tr><td>116/\$380</td><td>216/\$190</td><td>Extension for response within second month[†]</td><td><input type="checkbox"/></td></tr><tr><td>117/\$870</td><td>217/\$435</td><td>Extension for response within third month</td><td><input type="checkbox"/></td></tr><tr><td>118/\$1,360</td><td>218/\$680</td><td>Extension for response within fourth month</td><td><input type="checkbox"/></td></tr><tr><td>128/\$1,850</td><td>228/\$925</td><td>Extension for response within fifth month</td><td><input type="checkbox"/></td></tr><tr><td>119/\$300</td><td>219/\$150</td><td>Notice of Appeal</td><td><input type="checkbox"/></td></tr><tr><td>141/\$1,210</td><td>241/\$605</td><td>Petition to revive unintentionally abandoned application</td><td><input type="checkbox"/></td></tr><tr><td>142/\$1,210</td><td>242/\$605</td><td>Utility Issue Fee (Or Reissue)</td><td><input type="checkbox"/></td></tr><tr><td>143/\$430</td><td>243/\$215</td><td>Design Issue Fee</td><td><input type="checkbox"/></td></tr><tr><td>122/\$130</td><td>122/\$130</td><td>Petitions to the Commissioner</td><td><input type="checkbox"/></td></tr><tr><td>123/\$50</td><td>123/\$50</td><td>Petitions related to provisional applications</td><td><input type="checkbox"/></td></tr><tr><td>126/\$240</td><td>126/\$240</td><td>Submission of Information Disclosure Statement</td><td><input type="checkbox"/></td></tr><tr><td>581/\$40</td><td>581/\$40</td><td>Recording each patent assignment per property (times number of properties)</td><td><input type="checkbox"/></td></tr><tr><td>146/\$760</td><td>246/\$380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td><input type="checkbox"/></td></tr><tr><td>149/\$760</td><td>249/\$380</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td><input type="checkbox"/></td></tr><tr><td colspan="2">Other fee (specify):</td><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr><tr><td colspan="2">Other fee (specify):</td><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr><tr><td colspan="2">SUBTOTAL (3)</td><td colspan="2">(\$).00</td></tr></tbody></table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$65	Surcharge - late filing fee or oath	<input type="checkbox"/>	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="checkbox"/>	147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="checkbox"/>	115/\$110	215/\$55	Extension for response within first month	<input type="checkbox"/>	116/\$380	216/\$190	Extension for response within second month [†]	<input type="checkbox"/>	117/\$870	217/\$435	Extension for response within third month	<input type="checkbox"/>	118/\$1,360	218/\$680	Extension for response within fourth month	<input type="checkbox"/>	128/\$1,850	228/\$925	Extension for response within fifth month	<input type="checkbox"/>	119/\$300	219/\$150	Notice of Appeal	<input type="checkbox"/>	141/\$1,210	241/\$605	Petition to revive unintentionally abandoned application	<input type="checkbox"/>	142/\$1,210	242/\$605	Utility Issue Fee (Or Reissue)	<input type="checkbox"/>	143/\$430	243/\$215	Design Issue Fee	<input type="checkbox"/>	122/\$130	122/\$130	Petitions to the Commissioner	<input type="checkbox"/>	123/\$50	123/\$50	Petitions related to provisional applications	<input type="checkbox"/>	126/\$240	126/\$240	Submission of Information Disclosure Statement	<input type="checkbox"/>	581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="checkbox"/>	146/\$760	246/\$380	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="checkbox"/>	149/\$760	249/\$380	For each additional invention to be examined (37 CFR 1.129(b))	<input type="checkbox"/>	Other fee (specify):		<input type="checkbox"/>	<input type="checkbox"/>	Other fee (specify):		<input type="checkbox"/>	<input type="checkbox"/>	SUBTOTAL (3)		(\$).00	
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[†] Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby

**IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE**



APPLICANT(S): Richard W. Friesen and Peter C. Hart
SERIAL NO.: 09/289,550
FILING DATE: April 9, 1999
TITLE: User Interface for an Electronic Trading System
EXAMINER: Not Yet Known
GROUP ART UNIT: 2773
ATTY. DKT. NO.: 3854

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CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: _____

7/20/99

By: _____

Dana S. Rao, Reg. No.: 43,875

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, DC. 20231

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. A copy is enclosed herewith of each listed reference which may be material to the examination of this application, and with respect to which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. [SERIAL NUMBER], filed on [FILING DATE], and the

references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).

The Information Disclosure Statement submitted herewith is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first official action on the merits, whichever event last occurred;
OR
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either:
 - (1) a final action under 37 CFR §1.113; OR
 - (2) a notice of allowance under 37 CFR §1.311; AND
- ☐ attached hereto is the fee of \$240, as set forth under 37 CFR §1.17(p), for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
OR
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.
- OR
- ☐ before the payment of the issue fee but after the mailing date of the first to occur of either:
 - [1] a final action under 37 CFR § 1.113; OR
 - [2] a notice of allowance under 37 CFR § 1.311; AND

in accordance with the requirements of 37 CFR § 1.97(d):

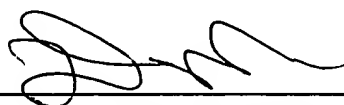
- ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND
- ☐ Applicant hereby respectfully petitions for the consideration of the accompanying Information Disclosure Statement under 37 CFR § 1.97(d)(2); AND
- ☐ Applicant submits the petition fee of \$130 as set forth in 37 CFR § 1.17(i).

☒ Applicant submits that no fee is required for the consideration of the accompanying Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,
RICHARD W. FRIESEN and PETER C. HART

Dated: 7/20/99

By: 
Dana S. Rao, Reg. No.: 43,875
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (650) 858-7816
Fax.: (650) 494-1417